

### Total Budget

Task/Phase	Direct Labor Hours	Direct Salary and Benefits	Service Contracts	Material and Acquisition Costs	Miscellaneous and other Direct Costs	Overhead and Indirect Costs	Total
I-1			0	\$ 20	\$ 80	\$ 26	\$ 126
I-2	160	\$ 3,008	0	\$ 20	\$ 80	\$ 808	\$ 3,916
I-3	267	\$ 5,011	0	\$ 16,520	\$ 80	\$ 1,329	\$ 22,940
I-4	267	\$ 5,011	0	\$ 60	\$ 240	\$ 1,381	\$ 6,692
I-5	267	\$ 5,011	0	\$ 200	\$ 800	\$ 1,563	\$ 7,574
I-6	672	\$ 12,031	0	\$ 60	\$ 240	\$ 3,206	\$ 15,537
II-1	3528	\$ 64,239	0	\$ 3,562	\$ 14,248	\$ 21,333	\$ 103,382
II-2	504	\$ 9,383	0	\$ 509	\$ 2,035	\$ 3,101	\$ 15,028
III-1	3696	\$ 70,182	0	\$ 3,732	\$ 14,927	\$ 23,099	\$ 111,940
III-2	1008	\$ 19,392	0	\$ 1,018	\$ 4,071	\$ 6,365	\$ 30,846
IV-1	1344	\$ 26,021	0	\$ -	\$ -	\$ 6,765	\$ 32,786
Project Management Task	0	0	0	0	0		
<b>TOTAL</b>	<b>11,713</b>	<b>\$ 219,289</b>	<b>\$ -</b>	<b>\$ 25,701</b>	<b>\$ 36,801</b>	<b>\$ 68,976</b>	<b>\$ 350,767</b>

Overhead and indirect costs have been calculated at the Off-campus rate of 26% MTDC. The rate is negotiated and approved by the Department of Health and Human Services, UCLA's cognizant federal agency. The modified total direct cost base consists of total direct costs less tuition and fee remission, equipment, capital expenditures, patient care, rental costs, scholarships, and fellowships and the portion of each subgrant and subcontract in excess of \$25,000.

The indirect cost rate applies to both federal and state agencies.

#### COST SHARING:

UCLA will cost share 10% of Dr. Malcolm Gordon's salary, benefits and indirect costs.

Table 4 - Quarterly Budget

	Oct-Dec 99	Jan-Mar 00	Apr-Jun 00	Jul-Sep 00	Oct-Dec 00	Jan-Mar 01	Apr-Jun 01	Jul-Sep 01	Oct-Dec 01	Jan-Mar 02	Apr-Jun 02	Jul-Sep 02	Totals
I-1	126	0	0	0	0	0	0	0	0	0	0	0	126
I-2	3916	0	0	0	0	0	0	0	0	0	0	0	3916
I-3	15293	7647	0	0	0	0	0	0	0	0	0	0	22940
I-4	4461	2231	0	0	0	0	0	0	0	0	0	0	6692
I-5	5049	2525	0	0	0	0	0	0	0	0	0	0	7574
I-6	0	15537	0	0	0	0	0	0	0	0	0	0	15537
II-1	0	0	29536	29536	14773	29536	0	0	0	0	0	0	103382
II-2	0	0	0	0	15028	0	0	0	0	0	0	0	15028
III-1	0	0	0	0	0	0	25444	30526	30526	25444	0	0	111940
III-2	0	0	0	0	0	0	5142	0	0	5142	20565	0	30849
IV-1	0	0	0	0	0	0	0	0	0	0	8197	24590	32786
Project	0	0	0	0	0	0	0	0	0	0	0	0	0
Management													0
Task													0
Totals	28846	27939	29536	29536	29801	29536	30586	30526	30526	30586	28762	24590	350770

**APPLICANT QUALIFICATIONS**  
**MALCOLM S. GORDON, PRINCIPAL INVESTIGATOR**  
**Professor of Biology, University of California, Los Angeles (UCLA)**

Date of birth: November 13, 1933

Place of birth: New York, N.Y.

Married, one child

**Employment:**

Faculty member, Departments of Zoology, later Biology, UCLA, since 1958; Professor since 1968. Director, Institute of Evolutionary and Environmental Biology, 1970-76. On leave as Assistant Director - Research, National Fisheries Center and Aquarium, U.S. Department of the Interior, Washington, D.C., 1968-69. Visiting faculty appointments: Faculty of Biology, University of Chile, Santiago, 1967; Department of Biology, Chinese University of Hong Kong, 1971-72; Board of Studies in Biology, University of California, Santa Cruz, 1980.

**Education:**

B.A. with High Honors in Zoology, Cornell University, 1954; Ph.D. in Zoology, Yale University, 1958.

**Fellowships:**

National Science Foundation Regular Predoctorals, Yale, 1954-57; Fulbright, University of Cambridge, England, 1957-58; Guggenheim, University of Copenhagen, Denmark, 1961-62; Senior Queen's in Marine Science, Australia, 1976; U.S. National Academy of Sciences - Academy of Sciences of the USSR lectureships, 1965 and 1973.

**Editorial Boards:**

University of California Press, 1977-82; American Zoologist, 1980-84; Journal of Experimental Zoology, 1990-93; Fish Physiology and Biochemistry, 1984-present.

**Major positions in scientific organizations:**

Chair, Division of Ecology (1979-80) and Chair, Division of Comparative Physiology and Biochemistry (1988-89), American Society of Zoologists; Chair, Interunion Commission on Comparative Physiology, International Unions of Physiological Sciences and Pure and Applied Biophysics, 1993-present.

**Principal research interests:**

Comparative ecological animal physiology (emphasis on fish physiology); experimental marine biology; evolutionary biology; animal biomechanics; aquaculture. Current research primarily on the biomechanics and hydrodynamics of fish locomotion.

**Publications:**

Over seventy research papers, seven books, two motion pictures.

## References

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April 14, 1999

DEPARTMENT OF ORGANISMIC BIOLOGY, ECOLOGY AND EVOLUTION  
621 CIRCLE DRIVE SOUTH  
BOX 951606  
LOS ANGELES, CALIFORNIA 90095-1606  
FAX: (310) 206-3987

Planning & Community Development Department  
Main Office  
County of Sacramento  
827 7th Street, Room 230  
Sacramento, CA 95814

Dear People:

The CALFED Bay-Delta program has requested that all applicants for ecosystem restoration program funding notify the county in which the applicant proposes to work. I am proposing a research project to be done primarily at the Bodega Marine Laboratory (BML) of the University of California, Davis in Sonoma County. I have proposed to describe the behavior of steelhead trout and white sturgeon in experimental fishways. The results of this study will be used to improve the effectiveness of fishways at California's many dams and other stream obstructions. This project does incorporate a field observation component that will take place at the Nimbus Fish Hatchery in Rancho Cordova. Salmonids traveling up the Nimbus Fish Hatchery fishway into the hatchery will be filmed for behavioral analyses. I have received permission from the hatchery personnel to make these observations and film the fishes. If you have any questions or comments about the proposed project, please feel free to contact me at the below address or by e-mail at [msgordon@ucla.edu](mailto:msgordon@ucla.edu).

Sincerely,

A handwritten signature in cursive script, appearing to read "Malcolm Gordon".

Malcolm Gordon  
Professor  
University of California, Los Angeles  
621 Charles E. Young Drive  
Los Angeles, California 90095-1606



April 14, 1999

DEPARTMENT OF ORGANISMIC BIOLOGY, ECOLOGY AND EVOLUTION  
621 CIRCLE DRIVE SOUTH  
BOX 951606  
LOS ANGELES, CALIFORNIA 90095-1606  
FAX: (310) 206-3987

Mr. Don Nottoli  
District 5 Supervisor  
County of Sacramento  
700 H Street Suite 2450  
Sacramento, California 95814

Dear Mr. Nottoli:

The CALFED Bay-Delta program has requested that all applicants for ecosystem restoration program funding notify the county in which the applicant proposes to work. I am proposing a research project to be done primarily at the Bodega Marine Laboratory (BML) of the University of California, Davis in Sonoma County. I have proposed to describe the behavior of steelhead trout and white sturgeon in experimental fishways. The results of this study will be used to improve the effectiveness of fishways at California's many dams and other stream obstructions. This project does incorporate a field observation component that will take place at the Nimbus Fish Hatchery in Rancho Cordova. Salmonids traveling up the Nimbus Fish Hatchery fishway into the hatchery will be filmed for behavioral analyses. I have received permission from the hatchery personnel to make these observations and film the fishes. If you have any questions or comments about the proposed project, please feel free to contact me at the below address or by e-mail at [msgordon@ucla.edu](mailto:msgordon@ucla.edu).

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April 14, 1999

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621 CIRCLE DRIVE SOUTH  
BOX 951606  
LOS ANGELES, CALIFORNIA 90095-1606  
FAX: (310) 206-3987

Ms. Christine Arnold  
Permit and Resource Management Department, Director  
County of Sonoma  
2550 Ventura Avenue  
Santa Rosa, California 95403

Dear Ms. Arnold:

The CALFED Bay-Delta program has requested that all applicants for ecosystem restoration program funding notify the county in which the applicant proposes to work. I am proposing a research project to be done at the Bodega Marine Laboratory (BML) of the University of California, Davis. I have proposed to describe the behavior of steelhead trout and white sturgeon in experimental fishways. The results of this study will be used to improve the effectiveness of fishways at California's many dams and other stream obstructions. All Sonoma County aspects of this project will be done at the BML and arrangements have been made with the associate director of the laboratory, Paul Siri. If you have any questions or comments about the proposed project, please feel free to contact me at the below address or by e-mail at [msgordon@ucla.edu](mailto:msgordon@ucla.edu).

Sincerely,

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Malcolm Gordon  
Professor  
University of California, Los Angeles  
621 Charles E. Young Drive  
Los Angeles, California 90095-1606





April 14, 1999

DEPARTMENT OF ORGANISMIC BIOLOGY, ECOLOGY AND EVOLUTION  
621 CIRCLE DRIVE SOUTH  
BOX 951606  
LOS ANGELES, CALIFORNIA 90095-1606  
FAX: (310) 206-3987

Mr. Mike Reilly  
District 5 Supervisor  
County of Sonoma  
575 Administration Drive  
Room 100A  
Santa Rosa, California 95403

Dear Mr. Reilly:

The CALFED Bay-Delta program has requested that all applicants for ecosystem restoration program funding notify the county in which the applicant proposes to work. I am proposing a research project to be done at the Bodega Marine Laboratory (BML) of the University of California, Davis. I have proposed to describe the behavior of steelhead trout and white sturgeon in experimental fishways. The results of this study will be used to improve the effectiveness of fishways at California's many dams and other stream obstructions. All Sonoma County aspects of this project will be done at the BML and arrangements have been made with the associate director of the laboratory, Paul Siri. If you have any questions or comments about the proposed project, please feel free to contact me at the below address or by e-mail at [msgordon@ucla.edu](mailto:msgordon@ucla.edu).

Sincerely,

A handwritten signature in cursive script, appearing to read "Malcolm Gordon".

Malcolm Gordon  
Professor  
University of California, Los Angeles  
621 Charles E. Young Drive  
Los Angeles, California 90095-1606

State of California

DEPARTMENT OF WATER RESOURCES

The Resources Agency

Agreement No. \_\_\_\_\_

Exhibit \_\_\_\_\_

**STANDARD CLAUSES -  
INTERAGENCY AGREEMENTS**

**Audit Clause.** For contracts in excess of \$10,000, the contracting parties shall be subject to the examination and audit of the State Auditor for a period of three years after final payment under the contract. (Government Code Section 8546.7).

**Availability of Funds.** Work to be performed under this contract is subject to availability of funds through the State's normal budget process.

**Interagency Payment Clause.** For services provided under this agreement, charges will be computed in accordance with State Administrative Manual Section 8752 and 8752.1.

**Termination Clause.** Either State agency may terminate this contract upon 30 days advance written notice. The State agency providing the services shall be reimbursed for all reasonable expenses incurred up to the date of termination.

**Severability.** If any provision of this Agreement is held invalid or unenforceable by any court of final jurisdiction, it is the intent of the parties that all other provisions of this Agreement be construed to remain fully valid, enforceable, and binding on the parties.

**Y2K Language.** The Contractor warrants and represents that the goods or services sold, leased, or licensed to the State of California, its agencies, or its political subdivisions, pursuant to this Agreement are "Year 2000 compliant." For purposes of this Agreement, a good or service is year 2000 compliant if it will continue to fully function before, at, and after the Year 2000 without interruption and, if applicable, with full ability to accurately and unambiguously process, display, compare, calculate, manipulate, and otherwise utilize date information. This warranty and representation supersedes all warranty disclaimers and limitations and all limitations on liability provided by or through the Contractor.

DWR 4187 (REV. 1/99)

U.S. Department of the Interior

**Certifications Regarding Debarment, Suspension and  
Other Responsibility Matters, Drug-Free Workplace  
Requirements and Lobbying**

Persons signing this form should refer to the regulations referenced below for complete instructions:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - **The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.** See below for language to be used or use this form certification and sign. (See Appendix A of Subpart D of 43 CFR Part 12.)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions - (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements - Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

**PART A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters-  
Primary Covered Transactions**

CHECK ☐ IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE.

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**PART B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -  
Lower Tier Covered Transactions**

CHECK ☒ IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE.

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**PART C: Certification Regarding Drug-Free Workplace Requirements**

*CHECK ☒ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS NOT AN INDIVIDUAL.*

**Alternate I. (Grantees Other Than Individuals)**

**A. The grantee certifies that it will or continue to provide a drug-free workplace by:**

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about--
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted --
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) (b), (c), (d), (e) and (f).

**B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:**

Place of Performance (Street address, city, county, state, zip code)

621 Young Drive, South

Los Angeles, CA 90095

Check ☐ if there are workplaces on files that are not identified here.

**PART D: Certification Regarding Drug-Free Workplace Requirements**

*CHECK ☐ IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS AN INDIVIDUAL.*

**Alternate II. (Grantees Who Are Individuals)**

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

**PART E: Certification Regarding Lobbying**  
**Certification for Contracts, Grants, Loans, and Cooperative Agreements**

CHECK ☒ IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND THE AMOUNT EXCEEDS \$100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT; SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.

CHECK ☐ IF CERTIFICATION FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true.

  
SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

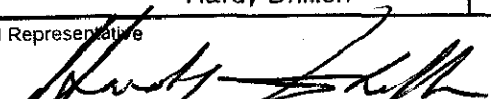
Hardy Dhillon, Contract and Grant Officer

TYPED NAME AND TITLE

DATE

4/15/99

APPLICATION FOR  
FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION <i>Application</i> <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED		Applicant Identifier	
		3. DATE RECEIVED BY STATE		State Applicant Identifier	
		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
5. APPLICANT INFORMATION					
Legal Name: <b>The Regents of the University of California</b>				Organizational Unit: <b>Organismic Bio., Ecology &amp; Evolution</b>	
Address (give city, county, state, and zip code): <b>Box 951406 1400 Ueberroth Los Angeles, Ca. 90095-1406</b>				Name and telephone and E-mail number of the person to be contacted on matters involving this application (give area code) <b>Hardy Dhillon, (310) 825-0965; hddhillon@snet.ucla.edu</b>	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; padding: 2px; display: inline-block;">           9 5 - 6 0 0 6 1 4 3         </div>				7. TYPE OF APPLICANT: (enter appropriate letter in box) <span style="border: 1px solid black; padding: 0 5px;">1</span>	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <span style="border: 1px solid black; padding: 0 5px;"> </span> <span style="border: 1px solid black; padding: 0 5px;"> </span> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____				A. State    H. Independent School Dist. B. County    I. State Controlled Institution of Higher Learning C. Municipal    J. Private University D. Township    K. Indian Tribe E. Interstate    L. Individual F. Intermunicipal    M. Profit Organization G. Special District    N. Other (Specify) _____	
				9. NAME OF FEDERAL AGENCY: <b>U.S. Department of the Interior</b>	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; padding: 2px; display: inline-block;">           . . . . .         </div> TITLE: <b>CALFED Bay-Delta program</b>				11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: <b>Behavior of Anadromous Fishes at Passageways</b>	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): <b>Sonoma and Sacramento Counties</b>					
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:			
Start Date	Ending Date	a. Applicant		b. Project	
10/01/99	09/30/02	29th		6th and 11th	
15. ESTIMATED TOTAL PROJECT FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?			
a. Federal	\$ 115,857 .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:  DATE _____			
b. Applicant	\$ 21,945 .00				
c. State	\$ .00	b. NO. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372  <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
d. Local	\$ .00				
e. Other	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?  <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input checked="" type="checkbox"/> No			
f. Program Income	\$ .00				
g. TOTAL	\$ 137,802 .00				
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Typed Name of Authorized Representative		b. Title		c. Telephone number	
Hardy Dhillon		Contract and Grant Officer		(310) 825-0695	
d. Signature of Authorized Representative				e. Date Signed	
				4/15/99	

**BUDGET INFORMATION - Non-Construction Programs****SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Task I				56,785	3,511	60,296
2. Task II				59,072	7,461	66,533
3. Task III						
4. Task IV						
5. TOTALS	N/A			115,857	10,972	126,829

**SECTION B - BUDGET CATEGORIES**

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total
	(1) Task I	(2) Task II	(3) Task III	(4) Task IV	(5)	
a. Personnel	25,703	31,362	0	0		57,065
b. Fringe Benefits	4,370	5,332	0	0		9,702
c. Travel	1,003	5,522	0	0		6,525
d. Equipment	16,500	0	0	0		16,500
e. Supplies	380	2,067	0	0		2,447
f. Contractual						
g. Construction						
h. Other	517	2,599	0	0		3,116
I. Total direct Charges (sum of 6a-6h)	48,473	46,882	0	0		95,355
j. Indirect Charges	8,313	12,189	0	0		20,502
k. TOTALS (sum of 6i and 6j)	56,786	59,071	0	0		115,857
7. PROGRAM INCOME	0	0	0	0		0

**SECTION C - NON FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Task I	3,511			3,511
9. Task II	7,461			7,461
10. Task III	0			0
11. Task IV	0			0
12. TOTALS (sum of lines 8 and 11)	21,945			21,945

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	115,857	28,846	27,939	29,536	29,536
14. NonFederal	21,945	5,486	5,486	5,486	5,486
15. TOTAL (sum of lines 13 and 14)	137,802	34,332	33,425	35,022	35,022

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. Task I	0	0		
17. Task II	59,337	0		
18. Task III	61,112	89,874		
19. Task IV	0	24,590		
20. TOTALS (sum of lines 16 - 19)	120,449	114,464		

**SECTION F - OTHER BUDGET INFORMATION**

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
23. Remarks:	



**ASSURANCES—NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.


**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-33.3), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1995 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE  Hardy Dhillon Contract and Grant Officer	
APPLICANT ORGANIZATION  The Regents of the University of California Box 951406, 1401 Ueberroth Los Angeles, CA 90095-1406	DATE SUBMITTED  4/15/99	